

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



U. S. Department of Energy

National Energy Technology Laboratory

Fiscal Year 2008 State Energy Program Competitive Activities

Funding Opportunity Number: DE-PS26-08NT00319

Announcement Type: Initial

CFDA Number: 81.041 State Energy Program

Issue Date:	6/4/08
Letter of Intent Due Date:	Not Applicable
Pre-Application Due Date:	Not Applicable
Application Due Date:	7/10/08 at 11:59:59 PM Eastern Time

NOTE: NEW REQUIREMENTS FOR GRANTS.GOV

Where to Submit

Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your CCR registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

Registration Requirements

There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See <http://www.grants.gov/GetStarted>. Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationReqCheck.pdf> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

IMPORTANT NOTICE TO POTENTIAL APPLICANTS: When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

Microsoft Vista and Office 2007 Compatibility

Grants.gov is currently incompatible with both the new Microsoft (MS) Vista Operating System and the new Microsoft (MS) Office 2007 versions of Word, Excel, and Power Point. In order to create and submit your application to Grants.gov, you must find a computer with a previous version Microsoft Operating System, such as Windows XP.

If you attach a file created using MS Office 2007, you will not get an error message when you submit the application, HOWEVER, your entire application will not be able to be processed or accepted at Grants.gov and will not reach DOE. Grants.gov can accept applications with attachments created in MS Office 2007 if the attachments are saved in the prior format. See the http://www.grants.gov/assets/Vista_and_office_07_Compatibility.pdf for detailed instructions on how to do this. A file created in MS Office 2007 can be identified by the "x" at the end of the file extension, for example "sample.docx" for a Word file. Contact Grants.gov at 1-800-518-4726 with any questions.

Questions

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. Part VII of this announcement explains how to submit other questions to the U.S. Department of Energy (DOE).

Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. When

the AOR receives e-mail Number 5, it is their responsibility to follow the instructions in the e-mail to logon to IIPS and verify that their application was received by DOE. The titles of the five e-mails are:

- Number 1 – Grants.gov Submission Receipt Number
- Number 2 – Grants.gov Submission Validation Receipt for Application Number
- Number 3 – Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 – Grants.gov Agency Tracking Number Assignment for Application Number
- Number 5 – DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to:

Number 5 – DOE e-Center Grant Application Received and Matched

This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

BACKGROUND

The Department of Energy's Office of Energy Efficiency and Renewable Energy (EERE), through the Office of Weatherization and Intergovernmental Program (OWIP), is announcing a competitive grant Funding Opportunity Announcement (FOA) seeking innovative state programs designed to foster energy efficiency and renewable energy policies, practices, technologies and programs.

OWIP has traditionally administered a State formula grant program. Congress, recognizing the need to move beyond "business as usual" approaches to fostering energy efficiency and renewable energy, and recognizing the capacity of the States and local governments to serve both as sources of innovation and as incubators of new ideas, authorized EERE to set up a competitive grant program. Additionally, Section 140 of the Energy Policy Act authorizes the Department to fund state programs designed to "...encourage reduction of consumption of electricity and natural gas by at least 0.75 percent annually."

The goal of this FOA is to stimulate activities that move beyond traditional public awareness campaigns, program maintenance and demonstration projects. Rather, EERE seeks to stimulate activities and investments which fundamentally and permanently transform markets across all sectors of our economy. OWIP believes that applications seeking results comparable to those outlined will require top-level support from the highest levels of state government, and offerers are encouraged to provide evidence of such support in their applications.

AREAS OF INTEREST

In keeping with the desire to encourage innovation and yet support specific high priority investments and outcomes, this FOA will include the following two Areas of Interest:

- 1) Advanced Building Energy Codes (\$3.5M) -- to develop and implement a plan that will achieve model building codes that are a 30% improvement over American Society of Heating, Refrigerating and Air Conditioning Engineers and the Illuminating Engineering Society of North America (ASHRAE) 90.1-2004 and/or the 2006 International Energy Conservation Code (IECC).
- 2) Utility-scale Clean Energy Capacity (\$4.0M) -- to create the policy framework and regulatory environment to enable gigawatt-scale clean energy capacity, whether through renewable energy or demand side reductions.

EERE's objective is to encourage the development of strategies which maximize energy efficiency or renewable energy supply in the shortest time with the least cost, and to invest in programs which alter, in a fundamental way, the manner in which the market mediates energy decisions.

Applicants may apply to one or both Areas of Interest; however, Applicants must select and target only one (1) Area of Interest per application. Please note that if an Applicant intends to apply under more than one Area of Interest, an application package must be downloaded specifically from each Area of Interest.

AREA OF INTEREST 1 – ADVANCED BUILDING ENERGY CODES ENERGY CODES BACKGROUND

The U.S. Department of Energy (the Department) has statutory responsibilities for national model

energy codes and works with other government agencies, state and local jurisdictions, national code organizations, and industry to upgrade model building energy codes and assist states to update, implement and enforce their codes to meet or exceed the upgraded model building energy codes. The Department recognizes that energy codes maximize energy efficiency only when they are fully embraced by users and supported through education, implementation, and enforcement.

The Department has launched an initiative in cooperation with ASHRAE to significantly improve its model commercial building energy code. The initiative objective is to upgrade ASHRAE Standard 90.1-2010 by 30% over ASHRAE Standard 90.1-2004. The Department also supports upgrades to the IECC, a model energy code for low-rise residential buildings, by 30% over the 2006 IECC.

Title III of the Energy Conservation and Production Act requires the Department to assist the voluntary model code organizations to upgrade their model codes and to provide incentive funding to States to update their codes to meet or exceed the model codes.

This Area of Interest is intended to address Title III and will provide incentive funding to States to upgrade, implement and enforce their building energy codes to be a 30% improvement over ASHRAE 90.1-2004 and/or the 2006 IECC. All States are eligible to apply. It is anticipated that these actions will enhance the energy efficiency of new and retrofitted commercial and residential building stock in the United States.

ENERGY CODE OBJECTIVES

States are encouraged to submit applications that develop and implement a plan to upgrade, implement and enforce building codes that are a 30% improvement over ASHRAE 90.1-2004 and/or the 2006 IECC. The Department is not requiring States to develop their own building energy codes but is soliciting applications for states to be an early adopter and implementer of the advanced building proposals and design guides that are currently being considered by the ASHRAE and International Code Council (ICC) model energy code committees. The Department is expecting concrete legislative or executive level commitment that the advanced building codes will be enacted. Applications must include a description of current building energy code regulations; the benefits for the proposed project; the process for updating energy codes at the legislative, administrative, and the local building community level; and the desired project timeline and outcomes in the State. The applicant should address the approach the lead or coordinating agency will take to update the energy portion of their State and local building codes, describe the planned methodology for implementing new building energy codes, and identify any necessary training and information transfer elements. The applicant should also address how the guidelines currently being considered could potentially be adopted by other states or regions. Building community partners and their role in the process should be identified, including State and local code officials, builders, architects, energy technology suppliers, utilities, and environmental or other public interest allies. The applicant should identify the amount of construction impacted, energy saved and economic and environmental benefits that are anticipated by the proposed energy code update(s). The development of any new training manuals, brochures, graphics, videos, etc., similar to those already available at <http://www.energycodes.gov/> should be justified.

States are encouraged to submit applications with a 3-year maximum performance period and to partner with interested entities to make maximum use of resources. A minimum of 25% cost share is required and higher cost share percentages are encouraged. If applicable, the application should include letters of commitment from other agencies and third parties participating in the project and a description of their involvement. Applicants must commit to attend Energy Codes 2009, a 2 ½-day event that will be held in the lower continental United States.

AREA OF INTEREST 2 – UTILITY-SCALE CLEAN ENERGY CAPACITY

UTILITY-SCALE CLEAN ENERGY CAPACITY OBJECTIVES

Under this Area of Interest, EERE is seeking applications that create the framework, regulatory environment and/or policy that, when fully implemented, enables utility-scale capacity and related transmission. This may be accomplished through renewable energy and/or comparable demand-side reductions. Utility scale, for purposes of this FOA, will mean capacity equivalent to a gigawatt or greater. Applications must address how the policy framework will enable at least one (1) gigawatt of capacity when fully implemented. Applications that cumulatively enable utility-scale capacity, such as transmission strategies and distributed generation, are eligible for this FOA.

EERE is seeking applications with innovative approaches to enable implementation of utility-scale clean energy capacity in the market. Applications that include legislation, policies, programs and strategies from states will be considered; strategies and approaches applicable to the regional or national levels, as well as partnerships with governments, utilities, Regional Transmission Organizations, and Independent System Operators are also encouraged.

EERE envisions that applications will include innovative ideas for removing barriers and developing incentives, as well as strategies designed to take advantage of fiscal and financial support mechanisms that could increase liquidity and lower the cost of money. Innovative approaches should exploit renewable portfolio standards (RPS), regional transmission siting protocols, power purchase agreements (PPA) and/or renewable energy certificates (REC) or policy measures. Similarly, the leveraged use of renewable energy credits, energy efficiency white tags and carbon offsets through aggregation to serve as a substantial source of capital could also yield substantial increases in renewable and efficiency-based capacity.

Applications must include a description of the clean energy technology or technologies involved. Applications must include a comparison of the current clean energy capacity in the state to the clean energy capacity after the proposed legislation, policy, program and/or strategy is implemented. Barriers preventing the growth of the clean energy technology and the implementation strategy proposed to remove those barriers must be identified. The steps required to successfully reach utility-scale capacity, as well as the roles and responsibilities of the project partners must be clearly defined. If applicable, applications should also describe existing policies that could be synergized to help reach the goal of utility-scale capacity. Applications should address the likelihood of the proposed approach to be self-sustaining as well as replicable in other municipalities, states or regions, or at the national level. Multi-state applications are welcome.

States are encouraged to submit applications with a 3-year maximum performance period and to partner with interested entities to make maximum use of resources. While there is no cost share requirement, cost share participation is encouraged. If applicable, the application should include letters of commitment from other agencies and third parties participating in the project and a description of their involvement. This FOA is not intended to provide funds for capital expenditures for installation of hardware.

Some examples of programs established to achieve similar goals can be found at the following sites:

<http://www.ci.berkeley.ca.us/mayor//GHG/solar.htm>

<http://www.iso-ne.com/>

PART II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding grants under this program announcement.

B. ESTIMATED FUNDING

Approximately \$7,500,000 is expected to be available for new awards under this announcement.

C. MAXIMUM AND MINIMUM AWARD SIZE

- Ceiling (i.e., the maximum amount for an individual award made under this announcement):
\$500,000 (DOE Share)
- Floor (i.e., the minimum amount for an individual award made under this announcement):
none

D. EXPECTED NUMBER OF AWARDS

Under this announcement, DOE expects to make the following number of awards for each Area of Interest:

<u>Program/Topic Area:</u>	<u>Number of Awards</u>
Area of Interest 1	5-7
Area of Interest 2	5-7

E. ANTICIPATED AWARD SIZE

DOE anticipates that the total award value will be in the \$500,000 - \$660,000 range (including cost share, if applicable) for the total project period.

F. PERIOD OF PERFORMANCE

DOE anticipates making awards that will run for up to three (3) years.

G. TYPE OF APPLICATION

DOE will only accept new applications under this FOA.

PART III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

In accordance with 10 CFR 600.6(b), eligibility for award under this FOA is restricted to the 50 States, the District of Columbia, American Samoa, Guam, the Northern Mariana Islands, Puerto Rico and the US Virgin Islands. Applications must be submitted by the State Energy Office or other agency responsible for administering the State Energy Program pursuant to 10 CFR 420, although States may work in collaboration with non-State entities. Non-State entities interested in collaborating with their respective State Energy Office must contact their respective State Energy Office.

B. COST SHARING

- Area of Interest 1 – the cost share must be at least a minimum of 25% of the total allowable costs of the project (i.e., the sum of the Government share and the recipient share of allowable costs equals the total allowable costs of the projects) and must come from non-Federal sources unless otherwise allowed by law.
- Area of Interest 2 – while no cost share is required, it is encouraged.

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package.

B. LETTER OF INTENT AND PRE-APPLICATION

1. Letter of Intent.

Letters of Intent are not required.

2. Pre-application

Pre-applications are not required.

C. CONTENT AND FORM OF APPLICATION – SF 424

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL- Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

1. SF 424 - Application for Federal Assistance

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm under Certifications and Assurances.

2. Other Attachments Form

Submit the following files with your application and attach them to the Other Attachments Form. Click on “Add Mandatory Other Attachment” to attach mandatory file. Click on “Add Optional Other Attachment,” to attach the other files.

- **Project Narrative File**

The project narrative must not exceed 8 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Part VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

The project narrative must include:

- Project Objectives. This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- Merit Review Criterion Discussion. The section should be formatted to address each of the merit review criterion and sub-criterion listed in Section V. A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. **DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.** Please note that there are separate evaluation criteria for each Area of Interest.
- Project Timetable: This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.
- Relevance and Outcomes/Impacts: This section should explain the relevance of the effort to the objectives in the program announcement and the expected outcomes and/or impacts. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries.
- Roles of Participants: For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed.
- Bibliography And References, If Applicable: Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.
- Statement Of Project Objectives (SOPQ):
The Department of Energy's, National Energy Technology Laboratory uses a specific format for Statement of Project Objectives in its awards. In announcements such as this one, where the Government does not provide a Statement of Project Objectives, the Applicant is to provide one, which the DOE will then use to generate the Statement of Project Objectives to be included in the award.

The project narrative must contain a single, detailed Statement of Project Objectives that addresses how the project objectives will be met. The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. The Statement of Project Objectives may be released to the public by DOE in whole or in part at any time. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives should be no more than 4 pages in total and is excluded from the 8-page limit of the Project Narrative.

TITLE OF WORK TO BE PERFORMED

(Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

B. SCOPE OF WORK

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.

C. TASKS TO BE PERFORMED

Tasks, concisely written, should be provided in a logical sequence and should be divided into the phases of the project, as appropriate. This section provides a brief summary of the planned approach to this project.

PHASE I

Task 1.0 – (Title)

Subtask 1.1

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. DELIVERABLES

The periodic, topical, and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

[Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives. See the following examples:

1. Task 1.1 - (Report Description)
2. Task 2.2 - (Report Description)

E. BRIEFINGS/TECHNICAL PRESENTATIONS (If applicable)

The Recipient shall prepare detailed briefings for presentation to the Project Officer at the Project Officer's facility located in Pittsburgh, PA or Morgantown, WV. Briefings shall be given by the Recipient to explain the plans, progress, and results of the technical effort.

The Recipient shall provide and present a technical paper(s) at the DOE/NETL Annual Contractor's Review Meeting to be held at the NETL facility located in Pittsburgh, PA or Morgantown, WV.

- **Project Summary/Abstract File**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of

the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed one (1) page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font no smaller than 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other Attachment" to attach.

- **Resume File**

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file named "bio.pdf" and click on "Add Optional Other Attachment" to attach. The biographical information for each resume must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font no smaller than 11 point and should include the following information, if applicable:

Education and Training. Undergraduate, graduate, and postdoctoral training; provide institution, major/area, degree, and year.

Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

Publications. Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights, and software systems developed may be provided in addition to or substituted for publications.

Synergistic Activities. List no more than 5 professional and scholarly activities related to the effort proposed.

- **SF 424 A Excel, Budget Information – Non-Construction Programs File**

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, "Budget Information – Non Construction Programs" form on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm.

You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

- **Budget Justification File**

You must justify the costs proposed in each Object Class Category/Cost Classification category (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers, and number of travel days; list general categories of supplies and amount for each category; and provide any other information you wish to support your budget). Provide the name of your cognizant/oversight agency, if you have one, and the name and phone number of the individual responsible for negotiating your indirect rates. If

cost sharing is required, you must have a letter from each third party contributing cost sharing (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost sharing. In the budget justification, identify the following information for each third party contributing cost sharing: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed cost sharing – cash, services, or property. By submitting your application, you are providing assurance that you have signed letters of commitment. Successful applicants will be required to submit these signed letters of commitments. Save the budget justification information in a single file named “Budget.pdf,” and click on “Add Optional Other Attachment” to attach.

- **Subaward Budget File(s)**

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (which ever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee’s name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on “Add Optional Other Attachment” to attach.

3. SF-LLL Disclosure of Lobbying Activities

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
Application for Federal Assistance – SF424	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Project Narrative File	PDF	Project.pdf
Project Summary/Abstract File	PDF	Summary.pdf
Resume File	PDF	Bio.pdf
SF 424A File - Budget Information for Non-Construction Programs	Excel	SF424A.xls
Budget Justification File	PDF	Budget.pdf
Subaward Budget File(s)	Excel	See Instructions

SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A
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D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable
- Environmental Questionnaire

E. SUBMISSION DATES AND TIMES

1. Pre-application Due Date

Pre-applications are not required.

2. Application Due Date

Applications should be received by July 10, 2008, not later than 11:59:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline. The Grants.gov Helpdesk is not available after 9:00 PM Eastern Time. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

F. INTERGOVERNMENTAL REVIEW

This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

G. FUNDING RESTRICTIONS

Cost Principles Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. The cost principles for commercial organization are in FAR Part 31.

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit

APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD. Submit electronic applications through the “Apply for Grants” function at www.Grants.gov. If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to support@grants.gov.

2. Registration Process

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See www.grants.gov/GetStarted). **We recommend that you start this process at least three weeks before the application due date.** It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. **IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner identification Number" (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e., Grants.gov registration).

3. Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. When the AOR receives email Number 5, it is their responsibility to follow the instructions in the email to logon to IIPS and verify that their application was received by DOE. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the five e-mails are:

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number
- Number 5 – DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to:

- Number 5 – DOE e-Center Grant Application Received and Matched

This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

Part V - APPLICATION REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement.

2. Merit Review Criteria

Area of Interest 1 – Advanced Building Energy Codes

Criterion 1: Project Approach

Weight: [40%]

Reasonableness, completeness and feasibility of the proposed approach for adopting building energy codes at the legislative and/or administrative level, as well as the role of the building community.

Degree to which the project meets the objectives of the Funding Opportunity Announcement.

Degree to which the project contains clear goals, tasks and methods, deliverables, schedule, and budget.

Criterion 2: Potential Impact

Weight: [40%]

Degree to which the applicant demonstrates that the building proposals and guidelines that are currently being considered by the ASHRAE and ICC would be adopted in other states or regions.

Ability of the project to establish metrics and demonstrate results.

Demonstrated environmental and economic benefits from energy code development or updates.

Criterion 3: Partnership Structure and Capabilities

Weight: [20%]

Appropriateness of the credentials, capabilities and experience of the project team and key personnel.

Degree to which the roles and responsibilities of the project team have been identified and reasonableness of their ability to successfully manage and implement the proposed project.

Ability of the applicant to achieve cooperation among and between states, local governments, regions and other relevant organizations. Demonstrated commitment of the project team (for example, letters of commitment/support from governors, mayors, CEOs, commissioners and other critical participants).

Area of Interest 2 – Utility-Scale Clean Energy Capacity

Criterion 1: Project Approach

Weight: [40%]

Degree to which the project meets the objectives of the Funding Opportunity Announcement.

Degree to which the project contains clear goals, tasks and methods, deliverables, schedule, and budget.

Likelihood of the proposed approach to be self-sustaining.

Criterion 2: Potential Impact

Weight: [40%]

Degree to which the applicant demonstrates that the proposed approach can be replicated in other municipalities, states or regions, or at the national level.

Degree to which the project enables at least one gigawatt of capacity.

Ability of the project to provide metrics demonstrating results

Criterion 3: Partnership Structure and Capabilities

Weight: [20%]

Appropriateness of the credentials, capabilities and experience of the project team and key personnel.

Degree to which the roles and responsibilities of the project team have been identified and reasonableness of their ability to successfully manage and implement the proposed project.

Ability of the applicant to demonstrate cooperation among and between states, local governments, regions and other relevant organizations. Demonstrated commitment of the proposed recipient and project team (for example, letters of commitment/support from governors, mayors, CEOs, commissioners and other critical participants).

3. Other Selection Factors

The selection official may consider the following program policy factors in the selection process:

1. The desire to select a mix of projects which achieves the strategic goals of EERE.
2. The desire to select projects which represent a diverse portfolio of projects and methodologies.
3. The desire to select projects which maximize the geographic diversity (considering past awards and current applications); or the desire to select for award a group of projects with a broad or specific geographic distribution because of the nature of the energy source, the type of projects envisioned, or limitations of past efforts.
4. It may be desirable to select project(s) that reduce Federal investment and maximize corporate commitment as demonstrated by cost share levels that exceed the required amounts set forth in this announcement.

B. REVIEW AND SELECTION PROCESS

1. Merit Review

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is available under Financial Assistance, Regulations and Guidance at <http://www.management.energy.gov/documents/meritrev.pdf>.

2. Selection

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

4. Discussions and Award

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE anticipates notifying applicants selected for award by August 15, 2008 and making awards by September 30, 2008.

Part VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

1. Notice of Selection

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Part IV.G with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

2. Notice of Award

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It normally includes either as an attachment or by reference: (1). Special Terms and Conditions; (2). Applicable program regulations, if any; (3). Application as approved by DOE/NNSA.; (4). DOE assistance regulations at 10 CFR part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; (5). National Policy Assurances To Be Incorporated As Award Terms; (6). Budget Summary; and (7). Federal Assistance Reporting Checklist, which identifies the reporting requirements.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>), except for grants and cooperative agreements made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at http://www.nsf.gov/awards/managing/fed_dem_part.isp.

2. Special Terms and Conditions and National Policy Requirements

Special Terms and Conditions and National Policy Requirements

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at http://management.energy.gov/business_doe/business_forms.htm.

The National Policy Assurances To Be Incorporated As Award Terms are located at DOE http://management.energy.gov/business_doe/business_forms.htm.

Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at http://www.gc.doe.gov/financial_assistance_awards.htm.

C. REPORTING

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, which is included as Appendix A to this FOA.

PART VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

Questions regarding the content of the announcement must be submitted through the “Submit Question” feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the “Submit Question” button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. DOE/NNSA cannot answer these questions.

B. AGENCY CONTACT

Name:	Sue Miltenberger
E-mail:	susan.miltenberger@netl.doe.gov
FAX:	304-285-4683
Telephone (Optional):	304-285-4083

PART VIII - OTHER INFORMATION

A. MODIFICATIONS

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the application at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. COMMITMENT OF PUBLIC FUNDS

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

D. PROPRIETARY APPLICATION INFORMATION

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages _____ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

**U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST
AND INSTRUCTIONS**

APPENDIX A

1. Identification Number: DE-PS26-08NT00319	2. Program/Project Title: Weatherization Assistance Program (WAP) and State Energy Program (SEP) FY 2008 State Based Regional Assistance												
3. Recipient:													
4. Reporting Requirements: A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Program Status Report B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/eliink .) <table style="width:100%; border: none;"> <tr> <td style="text-align: left;">Report/Product</td> <td style="text-align: left;">Form</td> </tr> <tr> <td><input type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Conference papers/proceedings*</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> </tr> <tr> <td><input type="checkbox"/> Other (see special instructions)</td> <td>DOE F 241.3</td> </tr> </table> <i>* Scientific and technical conferences only</i> C. FINANCIAL REPORTING <input checked="" type="checkbox"/> SF-269, Financial Status Report <input type="checkbox"/> SF-269A, Financial Status Report (Short Form) <input type="checkbox"/> SF-272, Federal Cash Transactions Report D. CLOSEOUT REPORTING <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other E. OTHER REPORTING <input type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory of Federally Owned Property, if any <input type="checkbox"/> Other	Report/Product	Form	<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3	<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3	<input type="checkbox"/> Software/Manual	DOE F 241.4	<input type="checkbox"/> Other (see special instructions)	DOE F 241.3	Frequency	No. of Copies	Addressees
Report/Product	Form												
<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3												
<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3												
<input type="checkbox"/> Software/Manual	DOE F 241.4												
<input type="checkbox"/> Other (see special instructions)	DOE F 241.3												
A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Program Status Report	Q	Electronic Version	See Note 1										
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Report/Product	Form												
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<input type="checkbox"/> Software/Manual	DOE F 241.4												
<input type="checkbox"/> Other (see special instructions)	DOE F 241.3												
D. CLOSEOUT REPORTING <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other	F	Electronic Version	See Note 2										
FREQUENCY CODES AND DUE DATES: A - Within 5 calendar days after events or as specified. F - Final; 90 calendar days after expiration or termination of the award. Y - Yearly; 90 days after the end of the reporting period. S - Semiannually; within 30 days after end of reporting period. Q - Quarterly; within 30 days after end of the reporting period.													
5. Special Instructions: 1. Submit reports (or provide e-mail notification of WinSAGA entry) to the DOE Project Officer identified in Block 11 of DOE Form 4600.1. DOE strongly encourages States to submit the Progress Report electronically through WinSAGA. 2. The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at http://grants.pr.doe.gov . A signed copy of the Property Certification shall be submitted in PDF format to the NETL Property Administrator at the following e-mail address: Property.Administrator@netl.doe.gov													

Federal Assistance Reporting Instructions (5/06)

A. MANAGEMENT REPORTING

Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.
5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
6. Cost Status: Show approved budget-by-budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.
7. Schedule Status: List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report scheduled and budget variance. You may use your own project management system to provide this information.
8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
11. A description of any product produced or technology transfer activities accomplished. during this reporting period, such as:
 - a. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award.
 - b. Web site or other Internet sites that reflect the results of this project.
 - c. Networks or collaborations fostered.
 - d. Technologies/Techniques.
 - e. Inventions/Patent Applications.
 - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

B. SCIENTIFIC/TECHNICAL REPORTS

N/A

C. FINANCIAL REPORTING

Recipients must complete the financial reports identified on the Reporting Checklist in accordance with the report instructions. These standard forms are available at <http://www.whitehouse.gov/omb/grants/index.html>. Fill-able forms are available at <http://grants.pr.doe.gov>.

D. CLOSEOUT REPORTS

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at <http://grants.pr.doe.gov>.

E. OTHER REPORTING

N/A